



SENIOR LEADERS

Inspections

Assistance

Investigations

**Teaching
&**

Training





19TH Theater Support Command

Inspector General

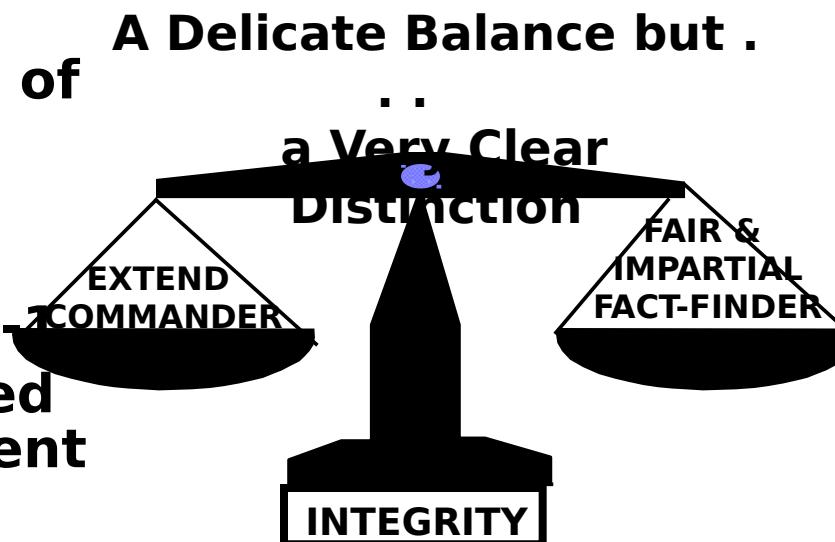


IG's ROLE

The Inspector General simultaneously acts as a fair and objective fact-finder, problem solver, and as a confidential advisor to the Commanding General. The Inspector General serves as an extension of the Commander's eyes, ears, voice, and conscience.

The IG's Authority

- Comes from the Commanding General
- No directive authority outside of IG system
- Does not establish command policy
 - Except for AR 1-201 and 20-
- Authorized access to all needed materials and records consistent with their security clearance





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IG Sphere of Activity

- Includes everything for which the IG's commander is responsible and geographical area assistance
- Jurisdiction:
 - 19th TSC IG:
 - Area III and Area IV
 - All 19th TSC Units in the ROK
 - Eight Army IG: Area II
 - 2d Infantry Division IG: Area I
- Highest level IG (EAIG) assumes responsibility for jurisdictional issues
- Operates within Command and IG Channels

IG Core Functions

Assistance
& Training

Investigations

Inspections

Teaching



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The Assistance Function

THE PROCESS OF RECEIVING, INQUIRING, INTO, AND RESPONDING TO COMPLAINTS, AND REQUESTS FOR INFORMATION OR HELP THAT ARE PRESENTED OR REFERRED TO AN IG. IGs PROVIDE ASSISTANCE ON AN AREA BASIS SO THAT COMPLAINANTS CAN GO TO THE NEAREST IG FOR HELP.

- Primary function of all IGs
- Complements inspections and investigations
- Teaching and training
- Major portion of the IG workload

A COMPLAINT, ALLEGATION, OR REQUEST FOR HELP PRESENTED OR REFERRED TO AN IG IS CALLED A INSPECTOR GENERAL ACTION REQUEST (IGAR)



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Where do IGARs come from?

SOLDIERS DACs FAMILY
MEMBERS

RETIREES VETERANS

CONTRACTORS ANONYMOUS

REFERRALS FROM OTHER IGs

THIRD PARTIES LOCAL

What do IAs provide?

RENDER ASSISTANCE

CORRECT INJUSTICES

ELIMINATE CONDITIONS DETERIMENTAL TO THE
EFFICIENCY OR REPUTATION OF THE ARMY

RECORD AND ANALYZE DATA FOR CORRECTIVE ACTION

REPORT ON THE STATUS OF THE COMMAND

Anyone who seeks
help with
problems related
to the U.S. Army

Encourage use of
the Chain of
Command first!



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IG Assistance Concept

- **Encourage the use of the Chain of Command to resolve the issue first**
- **Resolve issue at the lowest appropriate level of the chain of command**
- **Teaching and training**
- **Follow-up on resolution of the issue**

Need Assistance?

Service Members should go to their local IG office for Support. The Local IG will work simple assistance cases and forward the chain of command issues to the appropriate IG. If the installation does not have an IG office then call the appropriate IG that provides assistance to that respective Area.

Leaders should call their command IG for assistance.



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Nonsupport Cases

- Reference: AR 608-99 →
- Nonsupport is a commander's program
- IG's role:
- Ensure immediate needs are met
 - Ensure commander is aware and takes appropriate action
 - Follow-up on Complainant's assistance request
- Concept of Support
 - First or initial nonsupport notification starts with SM's Company Commander
 - Second Notice/Overdue suspense's go to Battalion Commander
 - Third Notice/Overdue suspense's go to Group Commander

**CDR has
14 days
to
respond
to
complain
ant**



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EO/IG

- The IG is authorized to accept EO/Harassment complaints

HOWEVER

- IGs are not specially trained in EO issues.
- The IG inquiry process differs (AR 20-1) from the EO process (AR 600-20) or the IO process (AR 15-6).
- IG records can not be used for adverse action unless approved by SecA, USecA, CSA, VCSA, or TIG.



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Not IG Appropriate

- **Criminal allegations**
- **EO complaints (with exception)**
- **Hazardous work conditions**
- **Redress available through other channels (review for correct due process)**
 - **OER/NCOER**
 - **Report of Survey**
 - **Relief for cause**
 - **and many more**



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Frequent Assistance Categories

- 1. MILITARY PERSONNEL MANAGEMENT**
- 2. PERSONAL CONDUCT**
- 3. FINANCE AND ACCOUNTING**
- 4. COMMAND MANAGEMENT**
- 5. CIVILIAN PERSONNEL MANAGEMENT**
- 6. HEALTHCARE**



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Analysis of Assistance



Cases

- **Nonsupport - recent arrivals are likely subjects**

Leaders must ensure unaccompanied soldiers are thoroughly familiar with family support obligations IAW AR 608-99 upon arrival/in-processing in the unit.

- **Mishandling of an individual's Personal Data (SSN) leads to violations of the Privacy Act**

Always safe guard personal information of individuals. Limit sending personal data over E-mail to "wide spread" distribution addresses. Always mark rosters that contain personal information appropriately.

- **A complainant's "Command Management" issue is usually resolved at company level with a clarification of policy**

Review policy letters routinely. Ensure new personnel understand command policies. Ensure policy letters are easily accessible to members of the organization.

- **On-line support channels have decreased Personnel Mgmt and Finance complaints.**

Leaders should ensure service members have access to computers to make changes to their personnel and finance issues.

- **Greater emphasis on reception, in-processing, and initial counseling of incoming personnel can reduce personnel issues and keep mission focus**



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Final Assistance Notes:

- **IG Role In Nonsupport Cases (AR 608-99)**
 - Ensure immediate needs are met
 - Ensure commander is aware and takes appropriate action
- **Civilian IGARs**
 - Before you act....ask your local CPAC/CPOC, SJA, EEO, or IG for assistance
- **EO Complaints**
 - The IG is authorized to accept EO/Harassment complaints
 - IGs are not specially trained in EO issues.
 - The IG inquiry process differs (AR 20-1) from the EO process (AR 600-20) or the IO process (AR 15-6)
- **IG records can not be used for adverse action unless approved by SecA, USecA, CSA, VCSA, or TIG.**



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IG Functions



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Investigations



- **Investigation** - A fact finding examination by a detailed IG into allegations, issues, or adverse conditions to provide the directing authority a sound basis for decision and actions. IG investigation normally address allegations or wrongdoing by an individual and are authorized by a written directive.
- IGs can inquire/investigate violations of laws, regulations and policies/directives

**Anyone can make an Allegation or IG Complaint
No precondition for coming to the IG**





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Common Sources of Allegations



Misuse of Government Vehicles

- **DOD 4500.36-R, Use of Government Vehicles, 10 April 1985, Chapter 3.**
- **Domicile to Duty**
- **Spirit and letter of the law**



BAH Fraud

- **Articles 107 (False Official Statement), 121 (Larceny), 132 (Fraud), UCMJ**
- **PV1 - LTC arrested by CID for BAH Fraud**
- **Perception that it is easy and that "Uncle Sam owes me"**
- **Finance and CID are watching**



Respect, Army Leadership

AR 600-20, Army Command Policy Article 134, UCMJ

- **Treating subordinates with dignity and respect**
- **Misuse of personnel (personal gain)**
- **Verbal abuse (superior to subordinate)**
- **Indecent language (community standards)**
- **Cultural conflicts (US - ROK)(US-KATUSA)**





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Common Sources of Allegations

Gifts

- DOD 5500-7-R, Joint Ethics Regulation
- Foreign Gifts - Know the value of the gift. When giving a gift to a foreign national, ensure you don't violate the SOFA.
- Gifts from subordinates
 - Voluntary
 - Food as a gift (eat it and share)
 - Donate no more than \$10 each
- Retirement and Farewell Gifts
 - Max value of \$300 from a group
- Contact your Ethics Counselor (SJA) for more guidance





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**What is next after an allegation has been
made...**

Commander's Options :

- **Do Nothing**
- **Rule 303, MCM**
- **AR 15-6 Investigation**
- **Article 32**
- **CID/MPI**
- **Chain of Command**
- **Civil Authority**
- **Inspector General**



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What a Command Product “Is” and

“Is Not”

An AR 15-6 Investigation or Commander’s Inquiry is...

- An “*administrative fact finding procedure*” for use by a commander or appointing authority
- Not binding upon or limiting to the commander or appointing authority
- Not a source or form of redress, remedy or appeal, but may be used for *adverse action having redress, remedy or appeal*
- Not a substitute for the IG’s judgment and impartiality - or the IGAP

AR 15-6 investigations and commander’s inquiries:

- May not (in fact - rarely do) address all complainant issues and specific allegations
- Do not provide a reply to the complainant
- May not reveal new issues or generate referrals
- May rely on less experienced investigators, with less access to resources (e.g., records, time, global network for interviews)



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Mental Health Referrals

- **DOD DIRECTIVE 6490.1**
- **USFK Reg. 40-216, USFK Form 229-E**

- Prohibits referral of soldiers for mental evaluation as a reprisal
- Establishes due process rights for non-emergency referrals
 - Written notification to include reason for referral
 - Right to consult with attorney, chaplain or IG
- IG, DOD investigates violations
- Call IG or SJA for advice



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Whistleblower Reprisals

- **Title 10, USC, Section 1034 - Whistleblower Protection**
- **Protected communication to the IG, congress, chain of command, law enforcement**
- **Unfavorable actions**
 - Denial of promotion opportunity
 - Unjustified UCMJ action or transfer
 - Adverse performance evaluation
 - Mental health evaluation
- **Burden of proof is on commander to justify action**
- **IG, DOD investigates allegations**



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Other sources of Allegations

Support of private organizations: Compelling membership in AUSA, NCOA, etc.

Personal Misconduct: Adultery and alcohol (Army definition; not yours), fraternization, inappropriate relationships.

Misuse of Government Funds: IMPAC Purchase Card and Bank of America Travel Card

Homosexual Conduct Policy. Remember Statement, Act, or Marriage. Call legal, before you conduct an inquiry.



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Prostitution & Human Trafficking Command Policy

USFK does not support or condone the illegal activities of prostitution and human trafficking

Consequences

- Korean Prostitution Prevention Act
- ART 134 prohibits all acts that are either prejudicial to good order and discipline or that discredit the service.
- ART 134 specifically prohibits pandering, prostitution , and soliciting another to engage in an act of prostitution.
- ART 133 prohibits conduct unbecoming an officer and gentleman.



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IG Functions



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19th TSC Regulation 1-201

- Identifies responsibilities and principles
- Defines inspection terms and concepts
- Provides inspection guidance
- Establishes the Organizational Inspection Program(OIP)
- Urges the integration of inspections

Inspection Policy

- Follow inspection principles
- Scheduled and tailored
- ID Problems without regard to difficulty
- Fix problems or direct to proper level for resolution
- IG maintains a summary of all inspections
- Inspections spread innovative ideas and teach and train
- Commendable performances are recognized in reports
- All inspections and audits conducted within the TSC are encompassed into a single, well coordinated, cohesive OIP



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Purpose of the OIP

- **Commander's Program and a Command Responsibility**
The OIP provides the commander with an organized management tool to identify, prevent, or eliminate problem area while protecting valuable unit training time
- **Established from Battalion through TSC command levels**
Foundation is the inspection of companies by battalions, battalions by Groups, Groups by the TSC
- **Includes 5 components (Command, Staff, and IG Inspections, Audits and External Evaluations)**
- **Completes and reinforces other evaluations**
- **Minimizes the duplication of evaluations**
- **IG advises the Commander, trains local inspectors, and evaluates the effectiveness of the OIP**



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Command Inspections



- A scheduled, formal, tailored event
- Commander actively participates
- Includes in-brief, functional inspections, out-brief, and follow-up
- Two Types:

Initial Command Inspection

Required for all Commanders

Within 90 days for the Active Component

Identifies unit strengths and weaknesses

Comprehensive

Included on the training schedule

Cannot be used to evaluate the Commander

~~Subsequent Command Inspection~~ Helps commanders establish goals, standards, and priorities

~~Not used to compare units~~

Results go to the inspected unit commander only (IG can get generic results)

Conducted Annually

Measures progress and reinforces the Initial Command Inspection

The inspecting commander determines the scope of the Subsequent Command Inspection

The inspecting commander may use the results to evaluate the inspected commander



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Inspector General Inspections

Inspector General inspections:

- Pursue **systemic** issues
- Identify sub-stand performance, determine the magnitude of the deficiency, and seek the reason for the deficiency (**the root causes**)
- Teach systems processes and procedures
- Identify responsibility for corrective actions
- Spread innovative ideas

Audits

- Provides information, analyses, appraisals and recommendations
- Three Forms: Formal, Follow-up, Quick Reaction



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The Root Cause Analysis Model



The Inspections Guide, pages 24-29, Figure 5, paragraphs 3-16 through 3-22



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Final Inspection Notes

The 19th TSC Inspector General is available and best qualified to train staff & unit inspectors in inspection techniques and inspection planning. For training staff, unit, and IG inspectors, the IG uses "The Inspections Guide," published by the Department of Army Inspector General Agency. This guide is available to all inspectors -- including non-IGs. Staff principals and unit commanders should arrange for training directly with the 19th TSC IG.



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Need Assistance?

Service Members should go to their ~~Local~~ IG office for Support.
Leaders should call their command IG for assistance.

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IG Points of Contact in Korea

2ID IG (Area I) 732-8767

8th Army IG (Area II) 723-4006

Fraud, Waste, Abuse 738-STOP

19th TSC IG (Area III) 753-6136

19th TSC IG (Area IV) 768-7890

311st SIG CMD IG 723-4833

501st MI BDE ACTING IG 723-4387

18th MEDCOM IG 737-5083



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Questions?

Call us: 768-8563 / 8562 / 8404 / 8069 / 8516

Fax us: 768-6668

E-mail: 19thIG@usfk.korea.army.mil

**Write us: Office of the Inspector General, HHC, 19th TSC,
EANC-IG, Unit #15015, APO AP 96218**

Stop by: Bldg 1545, Camp Henry, Taegu, Korea

**Web Address <http://www-19thtaacom.korea.army.mil/>
(Headquarters-Personal Staff-Inspector General)**

